Appendix A

SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Asset Management – February 2016 **Rec. 4.1** – The Force should ensure that once the list has been completed appropriate arrangements are put in place including roles and responsibilities for maintenance of the inventory list. The Force should ensure that once the list has been completed, Finance review the list to ensure that the listed items have been accounted for correctly. **Managers Response** – Whilst the list is being completed discussions will continue between G4S and the CPT on the responsibilities that should be assigned to monitor and maintain it. The inventory list that is being completed should have little or no impact on the balance sheet as most items will have been accounted for under revenue expenditure but once it has completed it should be reviewed by finance to ensure this is the case. **Managers Update As At 08.06.16** – G4S FM have commenced work in compiling the asset / inventory list. However, having completed this for 4 major sites the amount of items requiring listing is excessive (nearing 10,000 items). CPT Manager to discuss with Force CFO the value of items to be included to enable this to be manageable. Progress has been made regarding ongoing responsibilities and a process is being developed. **Managers Update As At 04.10.16** – The CPT continues to liaise with the Force DCFO to review the value of items to be included within the retained asset register to enable this to be manageable. This is nearing completion and once a decision has been made the relevant assets will be listed. All other ongoing responsibilities have been ascertained, and therefore complete. Completion of this recommendation should be no later than 30 November 2016. **Managers Update As At 04.01.17** – A decision has yet to be reached on what actual items are to be classed as "assets" and to be included on the inventory / asset register. This has been discussed with the Force CFO, but due to the staffing situation since the retirement of the Force CFO at the end of September, coinciding with the budget setting cycle this has not been resolved. The intention is to finally resolve this by the end of Q4 2016/17. **Managers Update As At 14.03.17** – The DCFO has now agreed individual methodologies for; all 'attractive' items; non-attractive items up to £200; and non-attractive items above £200. The work has now commenced to formulate the initial inventory, this will be completed by 30 June 2017, once all relocations have taken place as a consequence of the Blue Light Programme.	2	**Original Timescale** 30.06.16 **Revised Timescale** 31.08.16 **Revised Timescale** 30.11.16 **Revised Timescale** 31.03.17 **Revised Timescale** 30.06.17	CPT Manager	27.07.16 18.10.16 01.02.17 05.04.17

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Asset Management – February 2016 **Rec. 4.1 Continued** **Managers Update as at 04.06.2017** – It is still aimed to achieve the target date of 30 June 2017 for the completion of the majority of the inventory. However, with 50+ sites to review and the impact on some of the same resources required to do this who are also involved with the Bluelight project, and that final relocations at HQ are ongoing this may slip. All relocations are due to be completed by end July and this date has been set as the absolute end date for completion.		**Revised Timescale** 30.06.17 (possible slip to end July 2017 for 100% completion)	CPT Manager	27.07.17
Pensions – July 2016 **Rec 4.2** – Roles and responsibilities in respect of the pension operation, including consideration of the different schemes in operation, should be established and documented within the relevant schemes of delegation, contracts and job descriptions. All staff should be aware of their responsibilities and be satisfied that operations within their remit are operating effectively. **Managers Response** – The Scheme of Delegation will be reviewed and will incorporate any necessary delegations. This will clarify the responsibilities of individuals with regards to Pension Schemes. **Managers Update As At 10.01.17** – Due to the reduced staff capacity in Corporate Finance this has not been included in the latest review of the Scheme of Delegation. It will be reviewed separately by end of March 2017. **Managers Update As At 14.03.17** – On target to be reviewed by 31.03.17 **Managers Update As At 31.03.17** - Authorisations for both Pension Schemes have been set out and will be included in the next iteration of the Financial, Contract & Procurement Regulations. Once published, HR will be notified to ensure Job Descriptions are up to date.	2	**Original Timescale** 31.12.16 **Revised Timescale** 31.03.17 **COMPLETE**	Deputy Chief Finance Director	18.10.16 01.02.17 05.04.17

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Seized & Found Property – September 2016 **Rec 4.2** – On their return to the station, Police officers should be reminded of their responsibility to count amounts of cash in the presence of a witness. Both officers should sign the evidence bag to confirm this. A consistent process for the recording of cash on the Niche system, including the amount, should be formulated and communicated to all officers. The Niche property management system should be updated to include the amount of cash. **Managers Response** – The Force has a Cash Detention Policy PD207 which relates to seizures that fall under the Proceeds of Crime Act. The instruction in this policy is cash should not be counted in order to forensically preserve the evidence. As officers may not be aware whether a case would become a POCA prosecution a practice has developed where cash is generally uncounted. A review of the policies and procedures to be carried out and for this to be clearly communicated to officers. **Managers Update As At 04.01.17** – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017. **Managers Update As At 07.03.17** – Waiting for Crime to review their Cash Seizure Policy, this has now been done. Crime has not changed their stance of not counting cash. Therefore the Property Policy will need to be reviewed to bring it in line with the Cash Seizure Policy. The reason for not counting the cash at the scene of seizure or within the custody suite is the need to preserve it for possible forensic examination. Large cash seizures are frequently heavily contaminated with controlled drugs. Evidence obtained in this manner is key to proving that it comes from unlawful conduct. Also, it is common for mistakes to be made when counting large amounts of cash. Placing the cash uncounted in a bag sealed in the bearer's presence eliminates the opportunity for errors and consequent accusations. **Update As At 31.05.17** – The Force cash seizure policy was reviewed and the policy states that for cash that is seized and whereby a case may be subject to a Proceeds of Crime Act prosecution that cash is NOT counted. However cash that is seized that is not subject to PCOA should be counted. I have updated the property policy to reflect this. Update As At 28.06.17 – CPT Manager has requested a further review of the Policy to consider weighing cash as per the JIAC's suggestion.	2	**Original Timescale** 31.12.16 **Revised Timescale** 28.02.17 **Revised Timescale** 30.04.17 **COMPLETE**	Business Support Manager and Commercial Partnership Team	01.02.17 05.04.17

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Seized & Found Property – September 2016 **Rec 4.4** – A periodic safe count should be undertaken at all locations to ensure an approximate record of safe value is recorded. This should be stored in a backed-up electronic location. This control should be classed as an interim measure until data quality issues have been resolved. Once this is the case, accurate and reliable reports can be extracted from Niche stating the value in each safe. **Managers Response** – Due to the Cash Detention Policy PD207 there is currently no possibility of getting an accurate safe value. This will be reviewed as part of recommendation 4.2. **Managers Update As At 04.01.17** – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017. **Managers Update As At 15.03.17** – Waiting for Crime to review their Cash Seizure Policy, this has now been done. Crime has not changed their stance of not counting cash. Therefore the Property Policy will need to be reviewed to bring it in line with the Cash Seizure Policy. The reason for not counting the cash at the scene of seizure or within the custody suite is the need to preserve it for possible forensic examination. Large cash seizures are frequently heavily contaminated with controlled drugs. Evidence obtained in this manner is key to proving that it comes from unlawful conduct. Also, it is common for mistakes to be made when counting large amounts of cash. Placing the cash uncounted in a bag sealed in the bearer's presence eliminates the opportunity for errors and consequent accusations. **Update As At 31.05.17** – As per the above policy there will always be cash that is uncounted and therefore there will never be an accurate record of the money held in the safe. A periodic safe count will only provide a total of known cash values which may be hugely different from that held as uncounted.	2	**Original Timescale** 31.12.16 **Revised Timescale** 28.02.17 **Revised Timescale** 30.04.17 **COMPLETE**	Business Support Manager and Commercial Partnership Team	01.02.17 05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Partnerships – February 2017 **Rec 4.2** – a) The OPCC timetable should be updated to reflect all the partnership meetings and requirements to present an overview of activity to show how the police and crime plan will be delivered. b) Once the timetable has been updated the OPCC should review the resources used in line with the PCC. Plan priorities to ensure that resources are utilised effectively. **Managers Response** – a) The OPCC timetable will be updated to reflect the partnership meetings key to that delivery. b) The totality of partnerships activity across the County is a complex picture and the OPCC influences a lot of formal and informal partnerships across the County. Given limited resources, it would not be our intention to map out the entirety of partnership working but focus upon the outcomes that the partnerships are delivering. This recommendation is complete.	2	**Original Timescale** a) 30.04.17 b) No Further Action **COMPLETE**	OPCC Chief Executive	05.04.17
Blue Light Collaboration Programme – January 2017 **Rec 4.2** – The internal assurance structure and its assurance activities should be formally documented. **Managers Response** – Agreed. We are working with the team to address the issue raised in the recommendation. **Managers Update As At 14.06.17** – Confirmation of PMO assurance responsibility and capacity will go to Steering Group again with the governance revisions at their next meeting. This recommendation is complete.	2	**Original Timescale** 30 April 2017 **COMPLETE**	Programme Director (Supt. Pache)	05.04.17
Income & Debtors – March 2017 **Rec 4.1 –** The Force should consider reviewing the current debt collection methods and consider implementation of taking legal action against outstanding debts over a certain value. **Managers Response** – The PCC/CC debt recovery policy will be reviewed.	2	**Original Timescale** 30.09.17	Deputy Chief Finance Officer	27.07.17
Payroll – March 2017 **Rec. 4.1** – The 'How to make a mileage claim' procedure should be recommunicated to staff. This should make clear the requirement to submit receipts with claims. **Managers Response** – We will ensure that the need for a receipt in published through both Routine Orders and Mailmonitor email. **Managers Update As At 08.06.17** – This recommendation was completed in March.	2	**Original Timescale** 31.03.17 **COMPLETE**	Exchequer Services Manager	27.07.17

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Learning & Development – March 2017 **Rec. 4.1** – The approval process of the internal training plan should be documented specifying the roles and responsibilities of staff from both G4S and the Force involved in the process. This should also state any meeting / committee the plan should be presented to. A record of this approval should then be retained on file. **Managers Response** – Agree that the approval process should be documented so all involved are clear on their responsibilities. It should be noted that a record of approval is included through the minutes of the Professional Development Board. **Managers Update As At 26.05.17** – At present, we are working on a process and associated documentation to support all three recommendations (which are linked together). Have met with Amy Johnson, IT and L&D Contract Manager in CPT and we will be putting a draft of the process forward to the Professional Development Board for agreement in July.	2	**Original Timescale** 31 August 2017 (to ensure process in place for next planning cycle)	CPT L&D Contracts Manager (in conjunction with G4S L&D Manager)	27.07.17
Learning & Development – March 2017 **Rec. 4.2** – The external training bid sheets sent out to Chief Superintendents / Superintendents should be amended to include a section for the respondents to include narrative as to whether value for money has been considered The accompanying guidance sheet should also be amended to explain what the box is intended for. This could include questions such as: • Are alternative providers available? • Have alternative quotations been obtained? • Why the selected option has been chosen? **Managers Response** – Whilst operational managers can provide information on what providers are available (and may state their preferred provider), L&D staff should progress with the administrative tasks of ensuring the Financial Regs are adhered to and alternative quotations obtained, rather than operational managers obtaining various quotes. Agree that the bid form / guidance sheet should be reviewed and this will be progressed and it will be agreed what questions should be included for managers to complete prior to submission to L&D. **Managers Update As At 26.05.17** – At present, we are working on a process and associated documentation to support all three recommendations (which are linked together). Have met with Amy Johnson, IT and L&D Contract Manager in CPT and we will be putting a draft of the process forward to the Professional Development Board for agreement in July.	2	**Original Timescale** 31 August 2017 (to ensure process in place for next planning cycle)	CPT L&D Contracts Manager (in conjunction with G4S L&D Manager)	27.07.17

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Learning & Development – March 2017 **Rec. 4.3** – Chief Superintendents / Superintendents should be reminded of the need to comply with instructions provided within the external training bidding process which ask for supporting rationale to be provided e.g. the statutory requirement or strategic priority the training is aligned to. In addition, management should also consider whether a more rigorous process should be followed to ensure all supporting rationale is provided. For example, where the rationale supporting each of the five prioritisation scores for high prioritised bids is not provided, the bid will not be considered. **Managers Response** – It is agreed a more rigorous process is required ensuring that detailed rationale is provided. This would reduce the oversubscription previously experienced, particularly on the proportion of bids being given the maximum score by operational managers. It is accepted that manual intervention is resource intensive, but it is a requirement of L&D to assess them and if there are deficiencies these should be directly raised with the manager who has submitted. Agree that when the external training bid process commences there is clear guidance regarding this and if relevant supporting rationale is not provided Managers should be informed at that stage that this will void their applications. A more pro-active approach to be considered in addition to just sending an email with bid forms attached (perhaps attendance at SMTs by L&D managers). **Managers Update As At 26.05.17** – At present, we are working on a process and associated documentation to support all three recommendations (which are linked together). Have met with Amy Johnson, IT and L&D Contract Manager in CPT and we will be putting a draft of the process forward to the Professional Development Board for agreement in July.	2	**Original Timescale** 31 August 2017 (to ensure process in place for next planning cycle)	CPT L&D Contracts Manager (in conjunction with G4S L&D Manager)	27.07.17

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Collaboration – East Midlands Police Legal Services – Nov 2016 **Rec. 4.1** – The Management Board for EMPLS should be reinstated to provide oversight and assurance with regards the unit's performance and delivery of its objectives. The Management Board members should ensure they have a timetable in place to attend meetings and carry out their responsibilities in line with the Section 22 agreement that is in place. **Managers Response** – It is acknowledged that the Management Board have not met for some time and Derbyshire will lead on re-establishment of this Board. **Managers Update As At 06.04.17** – Update provided by Andrew Dale, Derbyshire Police from their JARAC in March – Mr Dale advised that the Management of EMPLS has been added to the Deputies Board which will take place on a bi-annual basis. The next meeting will take place on 27 September. Mr Dale assured members that he will provide a steer on the level of assurance required and Members will receive a report for the meeting of the Committee in December. To provide additional reassurance Mr Neaves added that Mr Sutherland (the Force Solicitor) has provided the DCCs with a full update and work is already underway. **Update As At 02.06.17** – Update provided by Andrew Dale, Derbyshire Police – Although addressed elsewhere, I confirm that a meeting of the management Board took place in February this year, when it received a report on and approved the matters set out hereafter.	1	**Original Timescale** 31.01.17	David Peet Chief Executive	27.07.17

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Collaboration – East Midlands Police Legal Services – Nov 2016 **Rec. 4.3** – EMPLS should review the current KPI's that are in place and should prepare updated KPI's that can be presented to the Management Board for scrutiny and approval. Some considerations for performance indicators include: • Amount of cases being handled; • Type of case being handled; • Response times to request for legal advice; • Value for money being delivered; • Comparisons of performance across periods, such as per quarter and year on year; and • A review of the hours spent on cases and the alternative costs if this was completed by external solicitors. **Managers Response** – EMPLS will discuss the current KPI's with the Forces DCC's and look to put in place more relevant indicators of performance with input from Management Board members. **Managers Update As at 02.06.17** – Update provided by Andrew Dale, Derbyshire Police – The Management Board approved a refreshed set of KPI's and received information on compliance with those indicators. However, going forward, the Department is procuring a new case management system which includes, within its specification, the ability to produce detailed management information, primarily focussed around the key measures of costs, volumes and timeliness. The system is required to be capable of producing user-configurable bespoke reports as well as standard management information. On installation, budget provision has been made for optimum configuration to ensure key information can be produced.	2	**Original Timescale** 31.03.17	Head of EMPLS	27.07.17

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Collaboration – East Midlands Police Legal Services – Nov 2016 **Rec 4.5** – In accordance with Recommendation 4.1, once the Management Board meetings have been established they should include a review of performance and this should be noted or actions put in place to address areas of concern. **Managers Response** – In line with the two recommendations above, a regular performance report to Management Board will be established pending further discussions with the Forces. **Managers Update As At 02.06.17** – Update provided by Andrew Dale, Derbyshire Police – Information was produced to the management Board in relation to the performance of the Department, in terms of the scope of the work undertaken, volumes and general budget performance. The ability to produce more detailed information will be enhanced by the introduction of a new case management system.	2	**Original Timescale** 31.03.17	Head of EMPLS	27.07.17
Collaboration – East Midlands Police Legal Services – Nov 2016 **Rec 4.6** – The risk register should be updated to include a RAG rating between the target risk score and the current risk score to clearly identify the priorities for risk mitigation actions. The risk actions should be separated into ongoing actions and specific actions that will be taken on a set date, with the planned effect on the risk score clearly stated. Review of the risk register should be a standard agenda item at EMPLS Silver Meetings and should be included in the reporting to the Management Board. **Managers Response** – Agreed. The template will be updated in line with the recommendations to improve the current format of the risk register. Whilst it was not listed on the latest agenda that was provided to audit, the risk register, third party risk register and any risks discussed at bronze level meetings are always discussed at EMPLS silver meetings. Feedback to Forces on risks is completed on an individual basis in the absence of any management board reporting at present. Pending changed to management board reporting risks will be fed into this as well. **Managers Update As At 02.06.17** – Update provided by Andrew Dale, Derbyshire Police – The Department maintains two registers. The Departmental Register contains details of risks relating to the Department itself. It is now RAG rated using a 5x5 risk scoring matrix. It is a standing item at Silver Meetings. Additionally, risk is a standing item at team (Bronze) Meetings, which also consider the Third Party Risk Register, identifying risks to Forces. That Register is also considered at the Silver Meeting and any risks rated at Red or Amber notified to the relevant Force(s).	2	**Original Timescale** 31.03.17	Head of EMPLS	27.07.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Collaboration – East Midlands Operational Support Services – May 2017 **Rec 4.1** – A review of the current governance groups should be undertaken and a consistent format to the terms of references should be applied across EMOpSS. These should include, but not be limited to: Purpose, Scope, Membership, Decision making authority, Reporting Requirements, Frequency of meetings, Review. The Terms of Reference should be established for each of the governance groups and the forums with decision making powers should ensure that they have a decision log in place and record meeting minutes. **Managers Response** – EMOpSS has recently gone through significant change within the Leadership Team. A review of the Governance structure is currently underway and will be discussed at the first SMB which is scheduled for 14th June 2017. As part of that review Terms of Reference for each forum will be put in place and consideration given to the methods in which they are recorded.	2	**Original Timescale** 30.09.17	Ch. Supt. Smith	27.07.17
Collaboration – East Midlands Operational Support Services – May 2017 **Rec 4.5** – EMOpSS should continue to develop a performance framework. This should consider the outputs and quality of its deployments across the region to ensure effective performance monitoring can take place. **Managers Response** – EMOpSS are continuing to develop this framework under the new leadership team. There is a clear focus on outcomes and in particular links to local issues within each Force area.	2	**Original Timescale** Ongoing	Ch. Supt. Smith	27.07.17
Collaboration – East Midlands Operational Support Services – May 2017 **Rec 4.6** – The risk register should be updated to include a RAG rating between the target risk score and the current risk score to clearly identify the priorities for risk mitigation actions. The risk actions should be separated into ongoing actions and specific actions that will be taken on a set date, with the planned effect on the risk score clearly stated. The Risk Register should be a standard agenda item at the Strategic Management Board meetings. **Managers Response** – The Business Partner is currently working on the recommendations made. The risk register will be placed on the SMB agenda commencing 14/6/17.	2	**Original Timescale** 30.09.17	Ch. Supt. Smith	27.07.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Collaboration – East Midlands Special Operations Unit – March 2017 **Rec 4.1** – A review of the current governance groups should be undertaken and a consistent format to the terms of references that are in place should be applied across EMSOU. These should include, but not be limited to: Purpose, Scope, Membership, Decision making authority, Reporting Requirements, Frequency of meetings and Review. **Managers Response** – Agreed. As EMSOU has developed new forums have been put in place and the timing of these is likely to have caused some inconsistency in format. Decision making is widely known, if not formally documented, and it is agreed it would be best practice for each forum to review its terms of reference to ensure it is clearly stated.	2	**Original Timescale** 31.08.17	Head of Finance & Corporate Services	27.07.17
Collaboration – East Midlands Special Operations Unit – March 2017 **Rec 4.3** – Appropriate business plans should be put in place in line with the section 22 agreements. The business plans should have a three year outlook, clearly stating reporting requirements that will allow for an effective review of performance against the objectives set. **Managers Response** – Agreed. Alongside the business plans, the development of longer term financial planning documents are being prepared including capital expenditure. Once a business plan is completed, it will be taken through the appropriate boards for approval and then a review process will be put in place to monitor progress.	2	**Original Timescale** 31.08.17	Head of Finance & Corporate Services	27.07.17
Collaboration – East Midlands Special Operations Unit – March 2017 **Rec 4.4** – A consistent approach to managing risk, including the format of risk registers, should be established across EMSOU. This should include consistency in the scoring of risks in order that EMSOU SLT is able to more effectively manage risks across each unit. A risk register should be put in place in respect of the Serious Crime unit. **Managers Response** – Agreed. The Major Crime risks have historically been monitored through the Serious Organised Crime register but they should develop their own register. Consistency across all the risk registers should be sought and work is also being started on developing the risk appetite of the collaboration with support from the Regional Risk Management forum. This will assist in the developing consistent risk scoring across the EMSOU risk registers. A new member of staff began in January 2016 and they are being tasked with driving this forward.	2	**Original Timescale** 31.08.17	Head of Finance & Corporate Services	27.07.17